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## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/826,145	04/15/2004	Robert Boudreau	2100/13

CONFIRMATION NO. 8757

## FORMALITIES LETTER



\*OC000000013084520\*

27774  
 MAYER, FORTKORT & WILLIAMS, PC  
 251 NORTH AVENUE WEST  
 2ND FLOOR  
 WESTFIELD, NJ 07090

Date Mailed: 06/28/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/30/2004 GWORDOF1 00000032 10826145

FILED UNDER 37 CFR 1.53(b)

01 FC:2001  
 02 FC:2202  
 03 FC:2051

385.00 OP  
 324.00 OP  
 65.00 OP

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 385 to complete the basic filing fee for a small entity.*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of \$324 as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$774 for a Small Entity

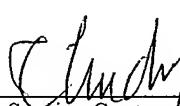
- \$385 Statutory basic filing fee.
- \$65 Late oath or declaration Surcharge.

- Total additional claim fee(s) for this application is \$324
  - \$324 for 36 total claims over 20.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*

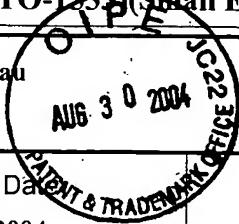
  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 2 - COPY TO BE RETURNED WITH RESPONSE

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Small Entity)

Docket No.

2100/13

In Re Application Of: Robert A. Boudreau



Serial No.  
10/826,145

Filing Date  
04/15/2004

Examiner  
Unassigned

Group Art Unit  
2874

Invention: ACTIVE OPTICAL ALIGNMENT AND ATTACHMENT THERETO OF A SEMICONDUCTOR  
OPTICAL COMPONENT WITH AN OPTICAL ELEMENT FORMED ON A PLANAR LIGHTWAVE CIRCUIT

Mail Stop Missing Parts

TO THE COMMISSIONER FOR PATENTS:

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on

06/28/2004

*Date*

Enclosed herewith for filing are the following:

- A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (REQUIRED)
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- A properly signed oath or declaration in compliance with 37 CFR 1.63.
- An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- not required verified small entity declaration(s)
  - is/are attached.
  - was/were filed on \_\_\_\_\_
- A separate request for refund.
- Other (list):

Letter requesting correction of Filing Receipt with certificate of mailing via first class mail, 2 pp.  
Copy of Filing Receipt with correction indicated, 2 pp.  
Credit Card Payment Form, PTO-2038, 1 pp.

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Small Entity)

Docket No.

2100/13

In Re Application Of: Robert A. Boudreau

AUG 3 0 2004

PATENT & TRADEMARK OFFICE

Serial No.  
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2874

Invention: ACTIVE OPTICAL ALIGNMENT AND ATTACHMENT THERETO OF A SEMICONDUCTOR  
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TO THE COMMISSIONER FOR PATENTS:

Mail Stop Missing Parts

Completion of application fees as calculated below:

Utility application filing fee \$385.00

Design application filing fee \_\_\_\_\_

Total number of independent claims = 2 \_\_\_\_\_

Total number of claims = 56 \_\_\_\_\_ \$324.00

Multiple dependent claims \_\_\_\_\_

Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$65.00

Petition and fee for filing by other than all the inventors or a person not the inventor \_\_\_\_\_

Fee for processing an application filed with a non-English language specification \_\_\_\_\_

Fee for processing and retention of application \_\_\_\_\_

Total completion of application fees \$774.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

One month  Two months  Three months  Four months  Five months

from: \_\_\_\_\_ until: \_\_\_\_\_

Date

Date

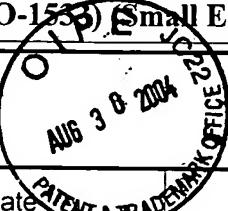
Total time extension fees \_\_\_\_\_

Total fees due \$774.00

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1535) (Small Entity)

Docket No.  
2100/13

In Re Application Of: Robert A. Boudreau



Serial No.  
10/826,145

Filing Date  
04/15/2004

Examiner  
Unassigned

Group Art Unit  
2874

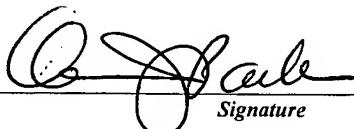
Invention: ACTIVE OPTICAL ALIGNMENT AND ATTACHMENT THERETO OF A SEMICONDUCTOR  
OPTICAL COMPONENT WITH AN OPTICAL ELEMENT FORMED ON A PLANAR LIGHTWAVE CIRCUIT

TO THE COMMISSIONER FOR PATENTS:

Mail Stop Missing Parts

The fee of \$774.00 is to be paid as follows:

- A check in the amount of the fee is enclosed.
- The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to ~~Deposit Account No. credit card. Credit Card Payment Form, PTC-2038, enclosed.~~
- If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 50-1047



Keum J. Park  
Signature

Keum J. Park Reg. No. 42,059  
Mayer Fortkort & Williams PC  
251 North Avenue West, 2nd Floor  
Westfield, NJ 07090

Tel.: 908-518-7700  
Fax: 908-518-7795

CC:

Dated: August 27, 2004

I certify that this document and fee is being deposited on 8/27/04 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Joanne Ryan  
Signature of Person Mailing Correspondence

Joanne Ryan  
Typed or Printed Name of Person Mailing Correspondence